

**EXHIBIT W**

**Background Checks**



# Optum MA HIX Background Check and Security Process

Within fourteen (14) days after execution of the agreement, the parties will consult with the Massachusetts Executive Office of Health and Human Services to determine whether additional background checks are needed.

# Process Overview

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1. Optum initiates a NEW background check for all employees types (FT or Contract) **(see next slides for specific details)**
2. All Optum and Optum entity employees are required to complete and attest to annual HIPAA certification. This process was signed off by state legal counsel in February 2014.
3. Employee goes thru Optum MA HIX onboarding process and completes these documents:
  - a) Employee completes the DOR video and paper attestation, filed in the MA HIX employee record
  - b) Rules of Behavior
  - c) Contractor's Employee Compliance Agreement
  - d) Employee/Contractor Awareness IRS Safeguard Training Certification
  - e) Health Connector Privacy and Security Acknowledgement Agreement
  - f) MassHealth Data Protection and Procedures Agreement
4. Employee completes the CORI form, Optum onboarding office verifies employee identification and submits CORI form to HR to execute
5. All documents filed with MA HIX specific employee records.
6. Any failed background checks are addressed on a case by case basis, result could lead up to and include termination (This is correct?)

# Pre-Employment (New Hires)

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- **Basic package + 9 Panel Drug Test**
  - SSN Trace
  - National Criminal Record Locator
  - Criminal, State Repository or County/s Superior Court.
  - 10 year search in all provided and developed counties or states of residence, employment, school attendance in 10 years using provided and developed names. Statewide Repository in the following states is to be used in lieu of county records AL, CT, DE, DC, HI, MD, NJ, NY, NC, OR, RI, SD, UT
  - Criminal, Federal District
  - 10 year search in all provided and developed federal districts of residence, employment, school attendance in 10 years using provided and developed names.
  - FACIS, Level 3
  - Academic, Highest degree (including high school/GED)
  - Employment, Current and most recent
  - Drug Test, 9 panel
  - Adjudication Management
  - Academic / Employment PLUS services

# Current Employees transitioned to project

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- **HC Exchange Support (Mass.)**

- SSN Trace
- National Criminal Record Locator
- Criminal, State Repository or County/s Superior Court.
- 10 year search in all provided and developed counties or states of residence in 10 years using provided and developed names. Statewide Repository in the following states is to be used in lieu of county records AL, CT, DE, DC, HI, MD, NJ, NY, NC, OR, RI, SD, UT
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